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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/680,923	10/06/2000	Steven Bechhofer	40108/00101

FAY KAPLUN & MARCIN, LLP
17th Floor
100 Maiden Lane
New York, NY 10038

FORMALITIES LETTER



OC000000005606778

Date Mailed: 12/08/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

05/07/2001 DTESSEH1 00000006 09680923

01 FC:105

130.00 OP



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[40108/00101]

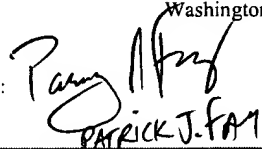
0300

#4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Bernd COLLMER et al.
Serial No. : 09/680,923
Filed : October 6, 2000
For : A SYSTEM AND METHOD FOR MANAGING RISK
AND OPPORTUNITY
Group Art Unit : 2161

Commissioner of Patents
Washington, D.C. 20231

Certificate of Mailing	
I hereby certify that this correspondence is being deposited with U.S. Postal Services as first class mail in an envelope addressed to: Commissioner for Patents Washington, DC 20231	
By:  PATRICK J. FAY	Date: May 3, 2001

RESPONSE TO NOTICE TO FILE
MISSING PARTS OF NONPROVISIONAL APPLICATION

S I R:

Transmitted herewith for filing in the above-identified application, in response to a Notice to File Missing Parts of NonProvisional Application Mailed December 08, 2000, is an executed Declaration along with an executed Power of Attorney. A copy of the Notice is enclosed herewith.

Applicants hereby request a three-month extension of time for responding to the Notice to File Missing Parts of Application of December 8, 2000 for which a response period expiring on February 8, 2001 was set. The extended period for response expires on May 8, 2001. A check for payment of the fee for the Notice and the extension fee in the amount of \$1,020.00 is attached hereto.

03/07/2001 DTESSEM1 00000006 09680923

02 FC:117

890.00 OP

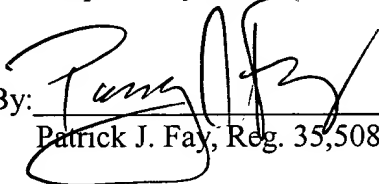
Please charge **any deficiency** or credit any overpayment to the Deposit Account of Fay
Kaplun & Marcin, LLP No. **50-1492**. A copy of this letter is enclosed for that purpose.

Respectfully submitted,

Dated:

May 2, 2001

By:


Patrick J. Fay, Reg. 35,508

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